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DOCKET NO. MS308121.01/MSFTP644US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Sean E. Purcell, et al.**  
Serial No.: **10/799,455**  
Filed: **March 12, 2004**  
For: **SELECTIVE TREATMENT OF MESSAGES BASED ON JUNK RATING**  
Art Unit: **2142**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: \_\_\_\_\_  
Filing Date: \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) \_\_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.

(b) \_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) \_\_\_\_ Within 3 months of the filing date or date of entry into the National Stage.

(b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in

the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.  
(c) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

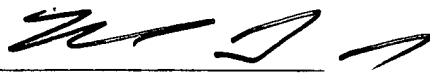
(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP

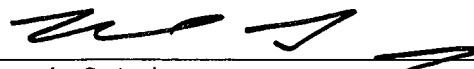
By   
Himanshu S. Amin  
Reg. No. 40,894

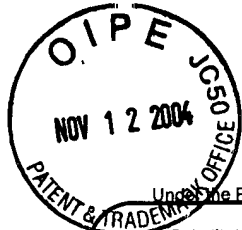
AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Himanshu S. Amin



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT  
BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 7

**Complete if Known**

Application Number	10/799,455
Filing Date	03/12/04
First Named Inventor	Sean E. Purcell
Art Unit	2142
Examiner Name	Unknown
Attorney Docket Number	MS308121.01/MSFTP644US

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,424,997	07-23-2002	Buskirk Jr. et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auvenshine	
		US- 6,023,723	02-08-2000	McCormick et al.	
		US- 6,484,197	11-19-2002	Donohue	
		US- 6,434,600	08-13-2002	Waite et al.	
		US- 5,835,087	11-10-1998	Herz et al.	
		US- 6,266,692	07-24-2001	Greenstein	
		US- 6,327,617	12-04-2001	Fawcett	
		US- 6,308,273	10-23-2001	Goertzel et al.	
		US- 5,704,017	12-30-1997	Heckerman et al.	
		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
		US- 2004/0139160	07-15-2004	Wallace et al.	

**FOREIGN PATENT DOCUMENTS**

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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

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		US- 2004/0093371	05-13-2004	Burrows et al.	
		US- 2004/0054887	03-18-2004	Paulsen et al.	
		US- 2003/0037074	02-20-2003	Dwork et al.	
		US- 2002/0059425	05-16-2002	Belfiore et al.	
		US- 2002/0016956	02-07-2002	Fawcett	
		US- 5,638,487	06-10-1997	Chigier	
		US- 5,619,648	04-08-1997	Canale et al.	
		US- 5,377,354	12-27-1994	Scannell et al.	
		US- 6,691,156	02-10-2004	Drummond et al.	
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		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 413 537	02-20-1991	Scannell et al.		
		EP 720 333	07-03-1996	Canale et al.		
		WO 96/35994	11-14-1996	Finney et al.		

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				First Named Inventor	Sean E. Purcell
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				Examiner Name	Unknown
Sheet	3	of	7	Attorney Docket Number	MS308121.01/MSFTP644US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Documents Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.	
		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	
		YIMING YANG, et al., An Example-Based Mapping Method for Text Categorization and Retrieval, ACM Transactions on Information Systems, July 1994, pp. 257-277, Vol. 12-No. 3.	
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	
		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: <a href="http://www.research.att.com/nwcohen/pubs.html">http://www.research.att.com/nwcohen/pubs.html</a> .	

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		IWAYAMA MAKOTO, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	
		DAVID D. LEWIS, An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task, 15th Annual International SIGIR '92, Denmark 1992, pp. 37-50.	
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		TOM MITCHELL, Machine Learning, Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184.	
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		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.	
		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	
		KEVIN R. GEE, Using Latent Semantic Indexing to Filter Spam, University of Texas-Arlington, 2003, 5 pages.	

Examiner Signature		Date Considered	
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NON PATENT LITERATURE DOCUMENTS			
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		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	
		PADRAIG CUNNINGHAM, et al., A Case-Based Approach to Spam Filtering that Can Track Concept Drift, In The ICCBR'03 Workshop on Long-Lived CBR Systems, June 2003, 9 pages, Trondheim, Norway.	
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		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	
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		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	
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		ION ANDROUTSOPOULOS, et al., An Experimental Comparison of Naive Bayesian and Keyword-based Anti-spam Filtering with Personal E-mail Messages, Proceedings of the 23rd ACM SIGIR Conference, 2000, pp. 160-167.	

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		PATRICK PANTEL, et al., SpamCop: A Spam Classification & Organization Program, In Proc. AAAI-1998 Workshop on Learning for Text Categorization, 1998, 8 pages.	
		K. MOCK, An Experimental Framework for Email Categorization and Management, Proceedings of the 24th Annual International ACM SIGIR Conference, 2001, pp.392-393.	
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		A.Z. BRODER, et al. Syntactic Clustering of the Web, SRC Technical Note, Digital Corporation, July 25, 1997, 13 pages.	
		FABRIZIO SEBASTIANI, Machine Learning in Automated Text Categorization, ACM Computing Surveys, 2002, pp. 1-47, Vol. 34-Issue 1.	
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		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	
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		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO <b>SUPPLEMENTAL          INFORMATION DISCLOSURE          STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/799,455
				Filing Date	03/12/04
				First Named Inventor	Sean E. Purcell
				Art Unit	2142
				Examiner Name	Unknown
Sheet	7	of	7	Attorney Docket Number	MS308121.01/MSFTP644US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	
		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.	
		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.	
		GIUSEPPE MANCO, et al., Towards An Adaptive Mail Classifier, In Proc. of Italian Association for Artificial Intelligence Workshop, 2002, 12 pages.	

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